



UNITED STATES PATENT AND TRADEMARK OFFICE

COPY OF PAPERS  
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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/028,998	12/20/2001	Adityo Prakash	10006.000410

CONFIRMATION NO. 3771

FORMALITIES LETTER



\*OC000000007384614\*

James K. Okamoto  
deGuzman Okamoto & Benedicto LLP  
P.O. Box 51900  
Palo Alto, CA 94303

Date Mailed: 01/29/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$84.
  - \$84 for 2 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 519.

*A copy of this notice **MUST** be returned with the reply.*

*James K. Okamoto*  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/04/2002 SSESHE1 00000034 10028998  
01 FC:201  
02 FC:202  
03 FC:205  
370.00 00  
84.00 00  
65.00 00



PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**#  
3

In Re Application of:  Adityo Prakash and Edward Ratner  Serial No.: 10/028, 998  Filed: December 20, 2001  Title: EFFICIENTLY ADAPTIVE DOUBLE PYRAMIDAL CODING	Examiner: not yet known  Art Unit: 2819  Atty. Docket No.: 10006.000410  <b>COPY OF PAPERS ORIGINALLY FILED</b>
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BOX MISSING PARTS  
Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS**  
**OF NONPROVISIONAL APPLICATION**

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application mailed January 29, 2002 for the above-identified patent application, enclosed are the following:

- ☒ A copy of the Notice to File Missing Parts of Nonprovisional Application;
- ☒ Executed Power of Attorney;
- ☒ An original, signed Declaration;
- ☒ Payment in the amount of \$519.00 for the filing and surcharge fees;
- ☒ Applicant claims small entity status under 37 C.F.R. section 1.27.

If the Examiner has any questions or needs additional information, the Examiner is invited to contact the undersigned attorney at (650) 691-2030.

Dated: February 8, 2002

Respectfully submitted,

Adityo Prakash, et al.

By: 

James K. Okamoto

Attorney For Applicant(s)

Reg. No. 40,110

DEGUZMAN OKAMOTO & BENEDICTO LLP

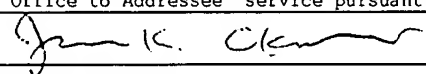
P.O. Box 51900

Palo Alto, California 94303

(650) 691-2030

(650) 691-2032 (FAX)

Enclosure(s)

CERTIFICATE OF MAILING			
I hereby certify that this correspondence, including the enclosures identified herein, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.			
Signature:			
Typed or Printed Name:	James K. Okamoto	Dated:	02/08/2002
Express Mail Mailing Number (optional):			

Please type a plus sign (+) inside this box → ☐

Approved for

U.S. Patent and Trademark

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PTO/SB/21 (08-00)

1/2002. OMB 0651-0031

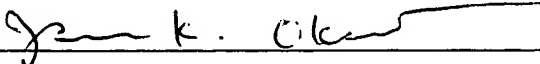
DEPARTMENT OF COMMERCE

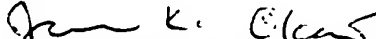
as a valid OMB control number.

<b>PTO</b> <b>TRANSMITTAL</b> <b>FORM</b> FEB 26 2002 (to be used for correspondence after initial filing)	<b>Application Number</b>	10028,998	
	<b>Filing Date</b>	December 20, 2001	
	<b>First Named Inventor</b>	Adityo Prakash	
	<b>Group Art Unit</b>	2819	
	<b>Examiner Name</b>	Not yet known	
<b>Total Number of Pages in This Submission</b>	10	<b>Attorney Docket Number</b>	10006.000410

**COPY OF PAPERS ORIGINALLY FILED**

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> Copy of Notice to File Missing Parts of Nonprovisional Application <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Letter to the Official Draftsperson <input type="checkbox"/> Corrected Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney <input checked="" type="checkbox"/> Signed Declaration <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <b>Return receipt postcard</b>
<b>Remarks</b>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
<b>Firm or Individual name</b>	James K. Okamoto, Reg. No. 40,110 DEGUZMAN OKAMOTO & BENEDICTO, LLP
<b>Signature</b>	
<b>Date</b>	February 8, 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 02/08/2002			
<b>Typed or printed name</b>	James K. Okamoto		
<b>Signature</b>		<b>Date</b>	Feb. 08, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**FREE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	10/028,998
Filing Date	December 20, 2001
First Named Inventor	Adityo Prakash
Examiner Name	not yet known
Group / Art Unit	2819
Attorney Docket No.	10006.000410

**COPY OF PAPERS  
ORIGINALLY FILED****TOTAL AMOUNT OF PAYMENT (\$)** 519.00**METHOD OF PAYMENT (check one)**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

50-2030

Deposit  
Account  
Name

deGuzman Okamoto &amp; Benedicto, LLP

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status.  
See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check    ☐ Credit card    ☐ Money  
Order    ☐ Other
**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	370
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

**SUBTOTAL (1)****(\$)** 370**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
13	-20 = 0	X 9 = 0	
Independent Claims	5	-3 = 2	X 42 = 84
Multiple Dependent		X	= 0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)****(\$)** 84

\*\*or number previously paid, if greater: For Reissues, see above


**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	65
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)****(\$)** 65**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	James K. Okamoto	Registration No. Attorney/Agent)	40,110	Telephone	650-691-2030
Signature				Date	February 8, 2002

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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